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M. Bud Nelson

Name

Signature

M. Bud Nelson

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Barberá-Guillem

B-40

Filed: 14 February 2001

For: Functionalized encapsulated fluorescent nanocrystals

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

Assistant Commissioner of Patents
Washington, D.C. 20231

Applicant wishes to make of record the following references under the provisions of 37 CFR 1.97 and to provide copies of relevant background cited in the application. The submission of any document herewith is not intended as an admission that such document constitutes prior art against the claims of the present application, or is to be considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove any document as a cited reference against the claims of the present invention.

References Cited

Please see attached Form PTO-1149 for list of publications, legible copies of all publication listed are enclosed.

Statement of Relevancy

1. U.S. Patent 6,114,038 to Castro & Barbera-Guillem. This patent describes functionalized nanocrystals and their use in biological applications.
2. U.S. Patent No. 5,990,479 to Weiss et al. This patent describes semiconductor nanocrystals having a layer comprising silica, and may further comprise an affinity molecule.
3. WO 00/28089 to Barbera-Guillem et al. This publication describes use of functionalized nanocrystals in labeling for strand synthesis. U.S. 09/436159 (allowed).

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4. U.S. Patent No. 5,525,377 to Gallagher et al. This patent describes a method of manufacturing encapsulated doped particles.

5. Bruchez Jr. et al., 1998, *Science*, 281:2013-2015. This paper describes semiconductor nanocrystals having a core, a shell, and a third layer comprising silica.

6. Chan et al., 1998, *Science*, 281:2016-2018. This paper describes semiconductor nanocrystals having a core, a shell, and a third layer comprising mercaptoacetic acid.

7. Kennedy et al., 1998, *Chem. Mater.* 10:2116-2119. This paper describes synthesis of CdS nanocrystals with egg lecithin vesicles.

8. Korgel et al., 1996, *J. Phys. Chem.* 100:346-351. This paper discloses use of phosphatidylcholine vesicles as a reaction compartment for synthesis of CdS nanocrystals.

The person making this statement is the patent attorney who signs below on the basis of the information supplied by the inventor, and as the attorney associated with the filing and prosecution of this application (37 CFR 1.56(a)):



M. Bud Nelson
Reg. No. 35,300

BioCrystal Ltd.
575 McCorkle Blvd., Westerville, OH 43082-8888
Date: 14 February 2001